

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-00600

SERIAL NO: 09/460,045

APPLICANT: Nesmith et al.

FILING DATE: December 13, 1999

GROUP: 2768

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EC	AA	Standard & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock.					

EXAMINER:

E. Colbert

DATE CONSIDERED:

3-5-03

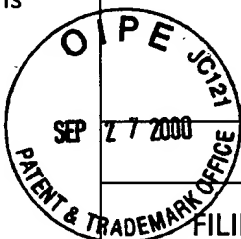
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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QC	B1	4,674,044	6/1987	Kalmus et al.	705	37	
QC	B2	5,347,452	9/1994	Bay, Jr.	705	37	
QC	B3	5,787,402	7/1998	Potter et al.	705	37	
QC	B4	5,950,176	9/1999	Keiser et al.	705	37	
QC	B5	6,014,643	1/2000	Minton	705	37	
QC	B6	6,016,483	1/2000	Rickard et al.	705	37	

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QC	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2.					
QC	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs.					
QC	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2.					

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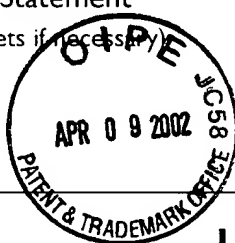
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EC	C1	6,260,025	7/2001	Silverman, et al.	705	37	
EC	C2	6,006,206	12/1999	Smith, et al.	705	35	
EC	C3	5,987,432	11/1999	Zusman, et al.	705	35	
EC	C4	5,966,531	10/1999	Skeen, et al.	709	315	
EC	C5	5,924,083	7/1999	Silverman, et al.	705	37	
EC	C6	5,924,082	7/1999	Silverman, et al.	705	37	
EC	C7	5,727,165	3/1998	Ordish, et al.	705	37	
EC	C8	5,195,031	3/1993	Ordish	705	37	
EC	C9	5,136,501	8/1992	Silverman, et al.	705	37	

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EC	CI0	5,077,665	12/1991	Silverman, et al.	715	37	
EC	CI1	5,034,916	7/1991	Ordish	709	204	
EC	CI2	5,003,473	3/1991	Richards	705	37	
EC	CI5	4,750,135	6/1988	Boilen	709	231	
EC	CI6	4,745,559	5/1988	Willis, et al.	705	37	
EC	CI7	6,278,982	8/2001	Korhammer, et al.	705	37	

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EL	D1	6,317,728 B1	11/13/01	Kane	705	31	
EL	D2	5,819,238	10/06/98	Fernholz	705	34	
EL	D3	5,640,505	06/17/97	Hearn et al.	714	4	

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—	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002. <i>Mining</i>				

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